



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                                      |   |                   |                  |
|--------------------------------------|---|-------------------|------------------|
| Applicant(s): Sun et al              | § | Group Art No.:    | 2681             |
|                                      | § |                   |                  |
| Serial No.: 09/911,081               | § | Examiner:         | Not Yet Assigned |
|                                      | § |                   |                  |
| Filed: July 20, 2001                 | § | Atty. Docket No.: | 32149631.5       |
|                                      | § |                   |                  |
| For: Broadband Ethernet Multicasting | § |                   |                  |

**RESPONSE TO NOTICE TO FILE  
MISSING PARTS OF APPLICATION**

|   |
|---|
| EXPRESS MAIL MAILING LABEL NO.: <u>EL698812682US</u>  |
| DATE OF DEPOSIT: <u>10-11-01</u>  |
| I, Christi Pingleton, hereby certify that this correspondence is being deposited on the date shown above with sufficient postage with the United States Postal Service as Express Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231. |
| <u>Christi Pingleton</u><br>Signature   |
| <u>10-11-01</u><br>Date   |

Commissioner of Patents  
Washington, D.C. 20231  
Attn: Initial Patent Examination Division

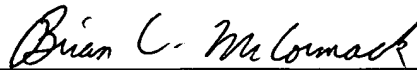
Dear Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, mailed September 6, 2001 enclosed are the following:

1. A copy of the "Notice to File Missing Parts of Nonprovisional Application";
2. A check in the amount of \$840 to accommodate the filing fee and surcharge for a large entity; and
3. Request to Correct Filing Receipt.

An error was made at the time of filing stating that the application should be awarded "small entity" status. Applicants respectfully request that the application be amended to reflect large entity status. The fee enclosed reflects the large entity status. Applicants have requested that the filing receipt be amended to reflect the large entity status and enclose a Request to Correct Filing Receipt accordingly.

Respectfully submitted,



---

Brian C. McCormack  
Reg. No. 36,601

ATTORNEY FOR APPLICANTS

Date: October 11, 2001  
BAKER & MCKENZIE  
2001 Ross Avenue, Suite 2300  
Dallas, TX 75201  
214/978-3043  
214/978-3099 fax

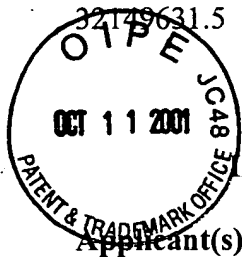
Attorney Docket No.

32149631.5

U.S. Patent Application No.

09/911,081

Receipt  
J



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Sun et al

§  
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Group Art No.: 2681

Serial No.: 09/911,081

Examiner: Not Yet Assigned

Filed: July 20, 2001

Atty. Docket No.: 32149631.5

For: Broadband Ethernet Multicasting

Office of Initial Patent Examination  
Customer Service Center  
Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

Dear Commissioner:

Attached is a copy of the official Filing Receipt received from the United States Patent and Trademark Office in the above application for which issuance of a corrected filing receipt is respectfully requested.

An error was made at the time of filing stating that the application should be awarded "small entity" status. Applicants respectfully request that the application be amended to reflect large entity status. Applicants have paid the large entity filing fee in the Response to Notice to File Missing parts of Nonprovisional Application concurrently filed herewith.

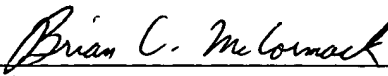
Additionally, Applicants respectfully request that the Attorney Docket Number be amended to reflect "32149631.5".

Applicants believe that no fees are required in connection with this filing. However, to the extent that fees are required, the Commissioner is authorized to charge those fees, or credit any overpayment, to Account No. 13-0480, Attorney Docket No. 32149631.5.

Attorney Docket No.  
32149631.5

U.S. Patent Application No.  
09/911,081

Respectfully submitted,



---

Brian C. McCormack  
Registration No. 36,601

Date: October 11, 2001  
BAKER & McKENZIE  
2001 Ross Avenue  
2300 Trammell Crow Center  
Dallas, Texas 75201  
Telephone: (214) 978-3000  
Facsimile: (214) 978-3099



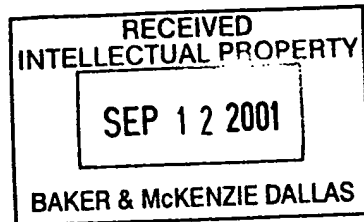
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/911,081         | 07/20/2001  | 2681         | 0.00          | 32149361.1C      | 4        | 6          | 2          |

CONFIRMATION NO. 2899 ✓

BRIAN C. McCORMACK ✓  
BAKER & MCKENZIE  
SUITE 2300  
2001 ROSS AVENUE  
DALLAS, TX 75201



## FILING RECEIPT



Date Mailed: 09/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Wei Ming Sun, ZhengHai, CHINA;  
Wei Gao, Shanghai, CHINA;  
Ying Bo Huang, Shanghai, CHINA;  
Hanzhong Gao, Germantown, MD;

## Domestic Priority data as claimed by applicant

## Foreign Applications

CHINA 00119490.9 07/20/2000 ✓

If Required, Foreign Filing License Granted 09/05/2001 ✓

Projected Publication Date: To Be Determined - pending completion of Missing Parts ✓

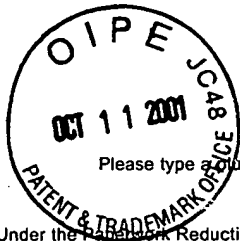
Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Broadband Ethernet multicasting ✓



Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|  |                      |                        |            |
|--|----------------------|------------------------|------------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | Application Number   | 09/911,081             |            |
|  | Filing Date          | 07/20/2001             |            |
|  | First Named Inventor | Sun                    |            |
|  | Group Art Unit       | 2681                   |            |
|  | Examiner Name        | Not yet assigned       |            |
| Total Number of Pages in This Submission   | 10                   | Attorney Docket Number | 32149631.5 |

| ENCLOSURES (check all that apply)   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group  |
| <input checked="" type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences                          |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)                   |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):                              |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | <b>Request to Correct Filing Receipt<br/>Check for filing fee and surcharge<br/>Postcard acknowledgement</b> |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> CD, Number of CD(s) _____                                      |  |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application              |   |  |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | Remarks   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | Brian C. McCormack<br>BAKER & MCKENZIE |
| Signature                                  | <i>Brian C. McCormack</i>              |
| Date                                       | 10/11/2001                             |

| CERTIFICATE OF MAILING  |                          |                 |
|---|--------------------------|-----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 10/11/2001 |                          |                 |
| Typed or printed name   | Christi Pingleton        |                 |
| Signature   | <i>Christi Pingleton</i> | Date 10/11/2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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# FREE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 840.00

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | 09/911,081       |
| Filing Date          | 07/20/2001       |
| First Named Inventor | Sun              |
| Examiner Name        | Not Yet Assigned |
| Group Art Unit       | 2681             |
| Attorney Docket No.  | 32149631.5       |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 130480  
Deposit Account Name: BAKER & MCKENZIE

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 710                    | 201 355                    | Utility filing fee     | 710.00   |
| 106 320                    | 206 160                    | Design filing fee      |          |
| 107 490                    | 207 245                    | Plant filing fee       |          |
| 108 710                    | 208 355                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

SUBTOTAL (1) (\$ ) 710.00

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 80                     | 202 40                     | Independent claims in excess of 3                          |
| 104 270                    | 204 135                    | Multiple dependent claim, if not paid                      |
| 109 80                     | 209 40                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  | 130.00   |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 390                    | 216 195                    | Extension for reply within second month                                    |          |
| 117 890                    | 217 445                    | Extension for reply within third month                                     |          |
| 118 1,390                  | 218 695                    | Extension for reply within fourth month                                    |          |
| 128 1,890                  | 228 945                    | Extension for reply within fifth month                                     |          |
| 119 310                    | 219 155                    | Notice of Appeal   |          |
| 120 310                    | 220 155                    | Filing a brief in support of an appeal                                     |          |
| 121 270                    | 221 135                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,240                  | 241 620                    | Petition to revive - unintentional   |          |
| 142 1,240                  | 242 620                    | Utility issue fee (or reissue)   |          |
| 143 440                    | 243 220                    | Design issue fee   |          |
| 144 600                    | 244 300                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) |          |
| 146 710                    | 246 355                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                    | 249 355                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                    | 279 355                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ ) 130.00

## SUBMITTED BY

|                   |                           |                                   |            |           |              |
|-------------------|---------------------------|-----------------------------------|------------|-----------|--------------|
| Name (Print/Type) | Brian C. McCormack        | Registration No. (Attorney/Agent) | 36,601     | Telephone | 214/978-3000 |
| Signature         | <i>Brian C. McCormack</i> | Date                              | 10/11/2001 |           |              |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents Washington DC 20231



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/911,081         | 07/20/2001          | Wei Ming Sun          | 32149361.1C            |

CONFIRMATION NO. 2899

## FORMALITIES LETTER



\*OC000000006520018\*

BRIAN C. McCORMACK  
BAKER & MCKENZIE  
SUITE 2300  
2001 ROSS AVENUE  
DALLAS, TX 75201

Date Mailed: 09/06/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/16/2001 SMINASS1 00000054 130480 09911081

FILED UNDER 37 CFR 1.53(b)

01 FC:101 740.00 OP  
02 FC:105 30.00 CH 100.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 420.

Adjustment date: 10/18/2001 SMINASS1  
10/16/2001 SMINASS1 00000054 130480 09911081

01 FC:101 740.00 OP  
02 FC:105 30.00 CH -100.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/16/2001 SMINASS1 00000002 130480 9911081

01 FC:105 130.00 OP  
02 FC:101 30.00 CH 710.00 OP

Adjustment date: 12/13/2001 EEKUBAY1  
10/23/2001 SDUONG 00000010 01  
Repln. Ref: 12/13/2001 EEKUBAY1 0010442800  
DIN: 130480 Name/Number: 09911081  
FC: 704 \$420.00 CR

Adjustment date: 10/23/2001 SDUONG  
10/18/2001 SMINASS1 00000002 130480 9911081  
01 FC:105 -130.00 OP  
02 FC:101 30.00 CR -710.00 OP

10/23/2001 SDUONG 00000010 09911081  
01 FC:101 740.00 OP  
02 FC:105 130.00 OP  
12/13/2001 EEKUBAY1 00000007 09911081  
01 FC:201 355.00 OP  
02 FC:205 65.00 OP